


Form 1449 INFORMATION DISCLOSURE STATEMENT BY APPLICANT 	ATTY. DOCKET NO. 10235/10	SERIAL NO. 09/988,739
	APPLICANT Kazuo SHINOZAKI, et al.	
	FILING DATE November 20, 2001	GROUP Not Assigned

Page 1/1

U. S. PATENT DOCUMENTS


EXAMINER INITIAL	PATENT NUMBER	PATENT DATE	NAME	CLASS/ SUBCLASS	FILING DATE

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS/ SUBCLAS S	TRANSLATION	
					YES	NO

OTHER DOCUMENTS

EXAMINER INITIAL	AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.
NKJ	M. Kasuga et al., <i>Improving plant drought, salt, and freezing tolerance by gene transfer of a single stress-inducible transcription factor</i> , Nature Biotechnology 17, pp 287-291 (1999)
NKJ	Q. LIU et al., <i>Two Transcription Factors, DREB1 and DREB2, with an EREBP/AP2 DNA Binding Domain Separate Two Cellular Signal Transduction Pathways in Drought- and Low-Temperature-Responsive Gene Expression, Respectively, in Arabidopsis</i> , The Plant Cell 10, pp1391-1406 (1998)
NKJ	K. Shinozaki et al., <i>Gene Expression and Signal Transduction in Water-Stress Response</i> , Plant Physiology 115, pp 327-334 (1997)
NKJ	H.J. Bohnert, et al., <i>Adaptations to Environmental Stresses</i> , The Plant Cell 7, pp1099-1111 (1995)
NKJ	X. Lin et al., <i>Sequence and analysis of chromosome 2 of the plant Arabidopsis thaliana</i> , Nature 402, pp 761-768 (1999)
EXAMINER	<div style="display: flex; justify-content: space-between;"> /Vinod Kumar/ DATE CONSIDERED 11/13/2007 </div>
EXAMINER: Initial if citation is considered, whether or not citation is in conformance with M.P.E.P. 609; strike out citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	


 PATENT & TRADEMARK OFFICE
 OCT 07 2002
 Copyright Reduction Act of 1995 (No. 107-193)
 PTO

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

(use as many sheets as necessary)

Sheet

of

2

Complete if Known

Application Number

09/988.739

Filing Date

November 20, 2001

First Named Inventor

K. SHINOZAKI, et al.

Group Art Unit

Unassigned

Examiner Name

Unassigned

Attorney Docket Number

10235/10

U.S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

[illegible]

**Examiner
Signature**

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 904.04.

³ Enter Office that Issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.



PTO/SB/08A (10-01)
Approved for use through 10/31/2002. OMB 0851-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 2 of 2

Complete if Known

Application Number	09/988,739
Filing Date	November 20, 2001
First Named Inventor	K. SHINOZAKI, et al.
Group Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	10235/10

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
NKI	1	DATABASE EM_PL [Online] Database accession no. AB010069, XP002200522, "abstract", 9 Jan, 1998	2
NKI	2	DATABASE EM_EST [Online] Database accession no. BI272680, XP002200523, "abstract", 20 July, 2001	2
NKI	3	DATABASE EM_PL [Online] Database accession no. AY039589, XP002200524, "abstract", 20 June, 2001	2

Examiner
Signature

/Vinod Kumar/

Date
Considered

12/18/2007

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

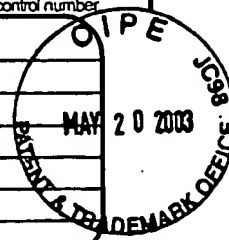
¹ Unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231. DC01 427088 v1

Complete if Known

Application Number	09/988,739
Filing Date	November 20, 2001
First Named Inventor	K. SHINOZAKI, et al.
Group Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	10235/10

Sheet	1	of	1
-------	---	----	---

[illegible][illegible]

11/13/2007

³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231 DC01 454869 v1.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Application Number		09988739	
	Filing Date		2001-11-20	
	First Named Inventor	Kazuo SHINOZAKI		
	Art Unit	1638		
	Examiner Name	Not Assigned		
	Attorney Docket Number	10235-10		

U.S. PATENTS							Remove
Examiner Initial*	Cite No	Patent Number	Kind Code ¹	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	
	1						

If you wish to add additional U.S. Patent citation information please click the Add button.

Add

U.S. PATENT APPLICATION PUBLICATIONS							Remove
Examiner Initial*	Cite No	Publication Number	Kind Code ¹	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	
	1						

If you wish to add additional U.S. Published Application citation information please click the Add button.

Add

FOREIGN PATENT DOCUMENTS								Remove
Examiner Initial*	Cite No	Foreign Document Number ³	Country Code ² j	Kind Code ⁴	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T ⁵
NK/	1	1033405	EP	A2	2000-09-06	Nickolai ALEXANDROV, et al.		<input type="checkbox"/>
NK/	2	02/016655	WO	A2	2002-02-28	Jeffrey HARPER, et al.		<input type="checkbox"/>

If you wish to add additional Foreign Patent Document citation information please click the Add button.

Add

NON-PATENT LITERATURE DOCUMENTS								Remove
---------------------------------	--	--	--	--	--	--	--	--------

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number	09988739
Filing Date	2001-11-20
First Named Inventor	Kazuo SHINOZAKI
Art Unit	1638
Examiner Name	Not Assigned
Attorney Docket Number	10235-10

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T ⁵
NKJ	1	Australian Examiner's Report (2nd) for patent application 91431/01. August 21, 2006.	<input type="checkbox"/>

If you wish to add additional non-patent literature document citation information please click the Add button

EXAMINER SIGNATURE

Examiner Signature	/Vinod Kumar/	Date Considered	11/13/2007
--------------------	---------------	-----------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. ² Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). ³ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁴ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁵ Applicant is to place a check mark here if English language translation is attached.



PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0851-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Complete If Known	
		Application Number	09/988,739
		Filing Date	November 20, 2001
		First Named Inventor	Kazuo SHINOZAKI et al.
		Art Unit	1638
		Examiner Name	Unassigned
		Attorney Docket Number	10235/10
Sheet	1	of	1

U.S. PATENT DOCUMENTS						
Examiner Initials *	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
		Number - Kind Code ² (if known)				
		US-				
		US-				
		US-				

FOREIGN PATENT DOCUMENTS						
Examiner Initials *	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
NKI	1	Yamagushi-Shinozaki, Kazuko, et al., "A Novel <i>cis</i> -Acting Element in an Arabidopsis Gene Is Involved in Responsiveness to Drought, Low-Temperature, or High-Salt Stress," <i>The Plant Cell</i> , Vol. 6, pgs. 251-264, February 1994.	
NKI	2	Yamagushi-Shinozaki, Kazuko, et al., "Molecular Cloning and Characterization of 9 cDNAs for Genes That Are Responsive to Desiccation in <i>Arabidopsis thaliana</i> : Sequence Analysis of One cDNA Clone That Encodes a Putative Transmembrane Channel Protein," <i>Plant Cell Physiol.</i> , 33(3), pgs 217-224, 1992.	
NKI	3	Mayer, K., et al., "Sequence and analysis of chromosome 4 of the plant <i>Arabidopsis thaliana</i> ," <i>Nature</i> , Vol. 402, pgs. 769-777, December 16, 1999.	

Examiner Signature	Ninod Kumar/	Date Considered	11/13/2007
--------------------	--------------	-----------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.88. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.